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INSTITUTE
of MUSEUM
and LIBRARY
SERVICES

2003 NATIONAL LEADERSHIP GRANTS

*for Libraries and
Museums*

Application Deadline:
For Libraries, **February 1**
For Museums, **March 1**
For Library and Museum
Collaborations, **April 1**

NATIONAL LEADERSHIP GRANTS

Grant Application and Information

Fiscal Year 2003

What is IMLS?

The Institute of Museum and Library Services (IMLS), an independent agency within the Executive Branch, was established by Act of Congress in 1996 to improve museum, library and information services. Within IMLS, the Office of Museum Services was established to encourage and assist museums in modernizing their methods and facilities so that they may be better able to conserve our cultural, historic, and scientific heritage; and to ease the financial burden borne by museums as a result of their increasing use by the public. The Office of Library Services was established to consolidate Federal library programs, to stimulate excellence and promote access to resources in all types of libraries for individuals of all ages, to promote library services that provide access to information through electronic networks, to provide linkages among and between libraries and to promote targeted library services to people of diverse backgrounds and abilities.

IMLS provides support to all types of libraries through grants to States and through discretionary programs. For many museums, IMLS is the only source of Federal support. The National Museum Services Board, a Presidentially-appointed body of fifteen voting members advises the Director on program policies for the Office of Museum Services. The National Commission on Libraries and Information Science, a Presidentially-appointed body of fifteen voting members advises the Director on program policies for the Office of Library Services.

For more information call or write:

Institute of Museum and Library Services
1100 Pennsylvania Avenue, NW
Washington, DC 20506
(202) 606-8536

E-mail: imlsinfo@imls.gov
Web site: <http://www.imls.gov/>

TTY (for hearing-impaired people): (202) 606-8636

Visually or learning disabled people may obtain assistance in acquiring a cassette recording of this or any other IMLS grant information and guidelines booklet by contacting IMLS.

Burden Estimate and Request for Public Comments

Public reporting burden for this collection of information is estimated to average forty hours per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Institute of Museum and Library Services, 1100 Pennsylvania Avenue, NW, Room 510, Washington, DC 20506; and to the Office of Management and Budget, Paperwork Reduction Project (3137-0001), Washington, DC 20503.

CFDA No. 45.312



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SERVICES

Dear Colleague:

I am very pleased to present these guidelines for the National Leadership Grants competition for libraries and museums. This program, launched in 1998, has supported a wide range of leadership activities that thoughtfully address current and emerging issues in library and museum practice.

For museums, issues include building strong community presence and partnership, developing and implementing new applications of technology and sustaining museums of all sizes through professional training and technical support. Issues for libraries include addressing needs for professional education and training, undertaking and demonstrating research that improves library services and increases public access, and addressing preservation and digitization methodology and needs.

National Leadership Grants also support model programs of cooperation between libraries and museums. Through collaboration, museums and libraries are creating new ways to strengthen community life, provide educational services, build collections, and emphasize access for all.

As in the past, IMLS will place a special emphasis on projects that help museums and libraries take a leadership role in the education of lifelong learners in the 21st century. This leadership role is key to National Leadership Grants. The concept seeks to build the capacity of libraries and museums to support the needs of lifelong learners and to foster learning communities. The vision for the 21st Century Learner Initiative is that museums and libraries are recognized as places that will encourage and support free-choice, lifelong learning.

We hope that the National Leadership Grant program will energize the best thinking in our fields about how museums and libraries can continue to enrich both individual and community life across this country.

Robert S. Martin, Ph.D.
Director

National Leadership Grants CALL FOR REVIEWERS

All National Leadership Grants are awarded through a peer review process. Peer review is fundamental to decision making by the Institute of Museum and Library Services. IMLS seeks qualified library and information science and museum professionals to evaluate proposals in their area of expertise for National Leadership Grants (NLG) in all funding categories. Reviewers must be available to review during a four-week period.

IMLS now makes Reviewer Application Forms available on our web site at <http://www.imls.gov/grants/review/index.htm>. One form is for library and information science professionals and one is for museum professionals. To apply, please complete the appropriate form and email a current resume.

In 2003, IMLS anticipates paying reviewers, pending Congressional appropriations.

For more information, call the Office of Library Services at (202) 606-5227 or the Office of Museum Services at (202) 606-8539. For TTY (hearing-impaired), call (202) 606-8636.

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GENERAL INFORMATION

The Opportunity: To Provide Model Projects to Improve Library and Museum Services and Enhance Cooperation between Libraries and Museums

Libraries and museums are learning institutions that support the needs of learners in the 21st century. As such they help people of all ages sustain a lifelong spirit of inquiry. Museums and libraries connect learners, individuals and communities to the rich resources and vast expertise they hold. Using these resources, learners can effectively explore the questions of deepest importance to them, understand the world around them, and participate in their communities.

Museums and libraries are public service institutions dedicated to enriching the educational, social and cultural lives of their communities. Both are trusted institutions that seek to build access to the broadest possible public. They are gathering places for families and communities as well as centers for scholarship and independent learning.

The National Leadership Grant program encourages libraries and museums to work independently and in collaboration to enhance their services and, as appropriate, to work in other dynamic partnerships to extend their impact. National Leadership Grants provide an opportunity for libraries and museums to develop innovative models for meeting the needs of learners in a variety of ways. With the ultimate goal of enhancing public services in support of learning, libraries and museums are encouraged to develop innovative projects in research, technology, preservation, professional development, and community-based partnerships.

Successful proposals will reflect an understanding of current issues and needs that relate to library or museum services or to the interaction between the two. They will demonstrate a clear sense of how projects will benefit their communities and contribute to their professions. The most competitive projects will provide creative solutions to problems of national importance and develop models for other organizations to adapt or emulate in order to extend the benefit of Federal support.

An idea need not be entirely new to exhibit leadership potential and have innovative impact. The best proposals may improve on or extend previous work in an interesting and significant way. Successful proposals will explain how a proposed project builds on an existing base of knowledge, including previous projects and/or published literature, and how results will benefit the professional community as well as the public. Institutions of all sizes and types are encouraged to develop projects that meet the specific needs of their counterparts across the country.

To ensure that funding will result in demonstrable and significant benefits to the public, IMLS has established a set of priorities for funding in each category. Funding priorities are listed under each program description. All proposals will be considered on their merit; however, projects that address the stated priorities will be given preference for funding.

Neither the types of projects nor funding priorities are listed in order of importance.

Eligibility

GENERAL INFORMATION

Eligibility requirements differ for each National Leadership Grants program. Accordingly, applicants should refer to the separate Eligibility Criteria for National Leadership Grants for Libraries (page 1.4), for National Leadership Grants for Museums (page 1.4) and for National Leadership Grants for Library and Museum Collaborations (page 1.5).

IMLS recognizes the potential for valuable contributions to the overall goals of National Leadership Grants by public, non-profit, non-US, and for-profit entities that do not meet the eligibility requirements below. Although such entities may not serve as the official applicants, they are encouraged to participate in projects as partners. Federally-operated libraries and museums may not apply for National Leadership Grants, but may serve as non-essential partners to applicants if they do not receive IMLS grant funds as a result of the project. Other entities may serve as partners and may receive IMLS grant funds as a result of the project. Consult with IMLS about any eligibility questions before submitting an application.

PARTNERSHIPS

An application for a National Leadership Grant project may include one or more partners. Library and Museum Collaborations *require* a partnership between at least one eligible library applicant and at least one eligible museum applicant. Museums in the Community applications *require* a partnership between at least one eligible museum or museum organization applicant and one community organization. The lead applicant in a partnership must be eligible to apply as an individual organization and all members of a partnership should be active contributors to and beneficiaries of project activities. IMLS discourages partnership projects whose sole purpose is institutional planning.

The members of the partnership shall either designate one member of the partnership to apply for the grant or establish a separate, eligible legal entity, consisting of the partnership members, to apply for the grant. Any group application must contain a signed Partnership Statement that details the activities that each member of the partnership plans to perform and binds each member of the partnership to every statement and all assurances made by the applicant in the application. The applicant shall submit the Partnership Statement with its application. A sample Partnership Statement is on page 5.15.

If IMLS makes a grant to a partnership, the lead applicant for the partnership is the grantee and is legally responsible for the use of all grant funds and ensuring that the project is carried out by the partnership in accordance with applicable Federal laws, regulations, and requirements. The lead applicant must be the fiscal agent but may subcontract with partners for other specific activities or services. Each member of the partnership is legally responsible for carrying out the activities it agrees to perform and using the funds it receives in accordance with applicable Federal laws, regulations, and requirements.

A parent organization controlling multiple museums or libraries which are not autonomous but which are otherwise eligible may submit applications on behalf of one or more of the eligible institutions. Two organizations under the same administrative authority and operational control, however, may not serve as the sole partner applicants in a category that requires a partnership.

**ELIGIBILITY
CRITERIA
FOR
NATIONAL
LEADERSHIP
GRANTS
FOR
LIBRARIES**

Non-Federal libraries in the U.S. are eligible for funding. Eligible libraries include: public, school, academic, archives, and private (non-profit).

- A special library is eligible if it is recognized as such by the state in which it is located.
- Research libraries (which make publicly available library services and materials suitable for scholarly research that are not otherwise available to the public and which are not an integral part of an institution of higher education) are eligible to apply.
- Institutions of higher education, including public and non-profit universities and colleges, may apply. Graduate library and information science schools may apply as part of an institution of higher education.
- A library agency that is an official agency of a state or other unit of government other than Federal and charged by the law governing it with the extension and development of public library services within its jurisdiction is eligible to apply.
- A library consortium is eligible if it is a local, statewide, regional, interstate, or international cooperative association of library entities that provides for the systematic and effective coordination of the resources of school, public, academic, and special libraries and information centers for improved services for the clientele of such library entities.
- A library association is eligible if it meets all of the following criteria: (1) is organized as a public or private non-profit organization or association that exists on a permanent basis; (2) serves libraries or library professionals at the national, regional, state or local levels; (3) engages in activities designed to advance the well being of libraries and the library profession; and (4) is located in one of the fifty States of the Union, the District of Columbia, the Commonwealth of Puerto Rico, Guam, American Samoa, the Virgin Islands, the Commonwealth of the Northern Mariana Islands, the Republic of the Marshall Islands, the Federated States of Micronesia, or the Republic of Palau.

Eligible libraries or institutions may apply individually or in a partnership. A parent organization (e.g., a school district) may apply on behalf of eligible libraries within its jurisdiction. Museums may apply only in partnership with an eligible library applicant, with the library applicant as the lead.

**ELIGIBILITY
CRITERIA
FOR
NATIONAL
LEADERSHIP
GRANTS
FOR
MUSEUMS**

Non-Federal museums and museum associations in the U.S., both large and small, are eligible for funding. Eligible museums include: aquariums, arboretums, art museums, botanical gardens, children's/youth museums, general museums (with two or more significant disciplines), history museums, historic houses/sites, natural history museums, nature centers, planetariums, science/technology centers, specialized museums (limited to a single, distinct subject) and zoological parks.

A museum is eligible if it meets all of the following criteria: (1) is organized as a public or private non-profit institution that exists on a permanent basis for essentially educational or aesthetic purposes; (2) cares for, and owns or uses tangible objects, whether animate or inanimate, and exhibits these objects on a regular basis through

facilities which it owns or operates; (3) has at least one professional staff member or the full-time equivalent, whether paid or unpaid, whose primary responsibility is the acquisition, care or exhibition to the public of objects owned or used by the museum; (4) is open and providing museum services to the general public (an institution which exhibits objects to the general public for at least 120 days a year fulfills this requirement); and (5) is located in one of the fifty States of the Union, the District of Columbia, the Commonwealth of Puerto Rico, Guam, American Samoa, the Virgin Islands, the Commonwealth of the Northern Mariana Islands, the Republic of the Marshall Islands, the Federated States of Micronesia, or the Republic of Palau.

Museums located within multipurpose public or private non-profit organizations such as municipalities, universities, historical societies, foundations, and cultural centers may apply for National Leadership Grants for Museums. To be eligible, a museum located within a multipurpose organization must function as a discrete unit within its parent organization. In addition, the museum must meet all of the following criteria: (1) have at least one full-time professional staff member, or the equivalent, paid or unpaid, whose responsibilities are solely for the museum's services and operations; (2) have a fully segregated and itemized operating budget within that of its parent organization; and (3) be able to separately and distinctly fulfill all National Leadership Grants for Museums eligibility and application requirements.

Support, auxiliary, or parent organizations that apply on behalf of museums that they own or operate or with which they are affiliated are not eligible to apply for NLG museum funds on their own behalf.

Museum associations or organizations that serve museums or museum professionals at the national, regional, state or local level by engaging in activities designed to advance the well being of museums and the museum profession are eligible to apply. An eligible museum organization or association must be organized as a public or private non-profit organization or association that exists on a permanent basis, and be located in one of the fifty States of the Union, the District of Columbia, the Commonwealth of Puerto Rico, Guam, American Samoa, the Virgin Islands, the Commonwealth of the Northern Mariana Islands, the Republic of the Marshall Islands, the Federated States of Micronesia, or the Republic of Palau.

Libraries may apply only in partnership with an eligible museum applicant, with the museum applicant as the lead.

**ELIGIBILITY
CRITERIA
FOR
NATIONAL
LEADERSHIP
GRANTS FOR
LIBRARY AND
MUSEUM
COLLABORATIONS**

Applicants must include at least one eligible library applicant (one of the entities listed under Eligible Criteria for National Leadership Grants for Libraries) and at least one eligible museum applicant (one of the entities listed under Eligible Criteria for National Leadership Grants for Museums). Either applicant may be the lead.

Two or more libraries or museums under the control of one parent multipurpose organization may apply for a partnership grant so long as each applicant library or museum has independent administrative authority and a separately developed operating budget within the larger budget of the parent organization. For example, a library and a museum both owned and operated by a city government, but having

separate facilities, separate staffs and autonomous operation would be eligible to apply as a partnership. However, neither a library that had an exhibition function as part of its internal operations, or a museum with a library function would constitute a partnership.

All partners must sign Partnership Statements (they do not all need to sign the same document). Refer to Partnership Statement, page 5.15. In addition, they must comply with the Partnership requirements listed above.

Conditions of a Grant

DURATION OF A GRANT

Generally, project activities supported by National Leadership Grants may be carried out for a period of up to 36 months.

PROJECT START DATE

Project start dates vary by category. Projects may begin no earlier than the last day of the month of the award announcement, and no later than December 31, 2003.

AMOUNT OF GRANT

National Leadership Grants range from \$15,000 to \$500,000. IMLS will review and negotiate budgets as necessary. Applicants may be granted an amount less than that requested.

COST SHARING

Applicants are generally expected to share the costs of projects. Cost sharing will be considered as an element in the review of all applications. Proposals that demonstrate strong institutional support through cost sharing are generally rated more favorably by reviewers. IMLS prefers that applicants provide at least 50 percent of the cost of any equipment to be purchased for the project. IMLS encourages applicants to contribute as cost sharing the salaries of any permanent staff to be employed on a project in proportion to the amount of time they will spend on the project. If IMLS funding is requested for salaries of permanent staff, the proposal should explain how their regular duties will be performed during the grant period. IMLS strongly encourages applicants to seek third-party donations of cash, equipment and services. All listed expenses, including all cost sharing, must be incurred during the grant period. Government-wide uniform administrative rules and requirements apply.

Applicants for all types of projects who request \$250,000 or less from IMLS are encouraged to provide at least one-third of the total cost of the project from non-Federal sources. Applicants who request more than \$250,000 from IMLS, for all types of National Leadership Grants projects, other than research projects, *must* provide at least one-half of the total cost of the project from non-Federal sources.

Because research benefits the entire museum and library and information sciences communities more than any one institution, IMLS does not require a one-to-one match for research proposals requesting over \$250,000. Applicants for research grants are, however, encouraged to provide at least one-third of the total cost of the project from non-Federal sources. Research projects will remain subject to evaluation on contributions (see Evaluation Criteria, pages 3.2–3.3). Demonstration efforts remain subject to match requirements for requests over \$250,000. See discussion of research and demonstration under Program Overview of the National Leadership Grants for Libraries, page 2.2, or see Program Overview of the National Leadership Grants for Museums, page 2.6, or see Program Overview of the National Leadership Grants for Library and Museum Collaborations Program, page 2.9.

USE OF FUNDS

National Leadership Grants may be used for a broad range of project activities. Grant funds may not be used for construction, acquisition of collections, contributions to endowments, social activities, ceremonies, entertainment, or pre-grant costs. For library grants and for library and museum collaborations, purchase of

limited amounts of library materials are allowable if the purchase is justified as part of a larger project; however, IMLS prefers that applicants contribute such purchases as cost sharing. All revenues generated with project funds during the grant period must be reported as program income and should be applied to the grant recipient's cost sharing. All listed expenses must be incurred during the grant period. Government-wide cost principles apply.

**COPYRIGHT/
WORK
PRODUCTS**

IMLS requires acknowledgement of IMLS assistance in all publications and other products resulting from the project. Products should be distributed free or at cost unless the recipient has received written approval for another arrangement. The recipient may copyright, with written permission, any work that is subject to copyright and was developed, or for which ownership was purchased, under an award. IMLS reserves, for Federal government purposes, a royalty-free, non-exclusive, and irrevocable license to reproduce, publish, or otherwise use the work and authorize others to reproduce, publish, or otherwise use the work. IMLS requires that awardees provide three copies of any products produced with IMLS funds to IMLS with the final reports.

**ANNOUNCEMENT
OF AWARD**

No information about the status of an application will be released until all applications have been reviewed and all negotiations are concluded. IMLS will notify applicants of final decisions according to the schedule given in the section Important Dates and Contact Information, page 6.1.

**PAYMENT,
ACCOUNTING,
AND
REPORTING
PROCEDURES**

A Federal accounting office handles the payment of National Leadership Grants. Grant recipients may request cash advances or reimbursements as needed during the project period. Payments are made electronically. IMLS requires grant recipients to maintain a restricted account for funds received during the project period. They do not need to maintain a separate bank account for IMLS grant funds; however, they must establish and maintain a separate accounting category within an internal accounting system to show that the funds have been used for project costs only. This restricted accounting record must be adequate to satisfy normal auditing procedures. Grants are subject to the provisions of Office of Management and Budget audit requirements.

Grant recipients will be required to submit 6-month performance reports as well as annual financial status reports; they are required to submit a final performance report and a final financial report.

Application Review and Evaluation

IMLS staff determines whether an applicant is eligible and whether an application is complete. IMLS staff may contact applicants for information needed to make an eligibility determination. If an applicant is determined to be ineligible as an official applicant, the application will be rejected without evaluation (see Eligibility, pages 1.3-1.6). Incomplete applications are subject to rejection without evaluation. If an application is rejected, the applicant will be notified by mail.

Institutions wishing to submit multiple proposals may apply in more than one category per deadline. The same proposal may not be submitted to more than one category or program. An institution may apply as a lead applicant in one category and serve as a partner on other applications without jeopardizing its chances of funding.

All eligible and complete applications will be competitively reviewed. All eligible applications for National Leadership Grants will be evaluated by individual field review and/or panel review. Reviewers will have expertise in the types of activities and types of organizations identified in the proposed projects. Reviewers will be drawn from professionals in the field and from the areas of expertise required. Library and museum professionals will review applications for the Library and Museum Collaborations program. The IMLS Director will make funding decisions based on the evaluations by reviewers, the stated priorities for funding and the overall goals of the National Leadership Grants program and of IMLS.

Reviewers will be instructed to evaluate the proposed projects according to the criteria identified in these guidelines. Applicants should address all criteria in the Application Narrative, as supported by any appropriate attachments and support material.

Examples of funded projects can be found on the IMLS web site. For museum projects, go to http://www.imls.gov/grants/museum/mus_nlgm.asp. For library projects, go to http://www.imls.gov/grants/library/lib_nlgl.asp.

**PROJECT
AND
APPLICATION
REQUIREMENTS**

National Leadership Grants for Libraries Program

Deadline:	February 1
Amount of Grant:	\$15,000-\$500,000
Grant Period:	Up to Three Years
Matching Requirement:	1:1 for requests over \$250,000, except research projects (see section on Cost Sharing, page 1.7). Cost sharing of at least 1/3 encouraged for requests under \$250,000 and for research projects. Demonstration projects subject to non-research matching provisions.
Eligibility:	See page 1.4
Program Contacts:	Jeanne McConnell (Continuing Education, Curriculum Development, and Training) (202) 606-5389, jmccconnell@imls.gov Martha Crawley (Research and Demonstration, Preservation or Digitization) (202) 606-5513, mcrawley@imls.gov

PROGRAM OVERVIEW

The Institute of Museum and Library Services awards National Leadership Grants for Libraries to enhance the quality of library services nationwide. National Leadership Grants are intended to produce results useful for the broader library community. Proposals will be judged on their potential for national impact – the degree to which they creatively address issues of concern to libraries across the country and provide potential solutions to common problems – as well as on the soundness of their management plans and other required proposal elements (see Evaluation Criteria, pages 3.2-3.3). National Leadership Grants are not intended to support basic operational needs, such as conversion of card catalogs to digital form or general processing of library or archival materials.

National Leadership Grants account for only a small percentage of Federal support for libraries. The majority of IMLS funds for libraries is distributed to State Library Administrative Agencies (SLAA) in each state to meet state-identified needs. Some SLAAs provide competitive grants at the state level. Information about state LSTA programs may be obtained from individual state library agencies.

The most successful National Leadership Grant proposals result from careful planning, including identification of a problem, assessment of potential solutions, development of a proposed approach, and gathering of key people and resources to test or demonstrate proposed solutions. Partnerships among institutions to achieve a broader vision and leverage resources are encouraged in all categories in order to maximize the impact of federal funding.

21ST CENTURY LEARNER INITIATIVE

The Institute of Museum and Library Services especially invites applicants to submit projects focused on enhancing opportunities for the 21st Century Learner. The concept seeks to build the capacity of libraries and museums to support the needs of lifelong learners and to foster learning communities. The vision for the 21st Century Learner Initiative is that museums and libraries are recognized as places that encourage and support free-choice, lifelong learning.

The 21st Century Learner Initiative places the needs of the learner at its center. We are a nation of learners continuously pursuing learning, independently and collectively, throughout our lives. A goal of the initiative is that learners are invited to use and become accustomed to using library and museum resources to explore issues that they value, to gain understanding of the world and to take part in their communities. Programs are developed to support needs identified by learners.

The idea that learning in the future will increasingly take place within networks – of people, of information, and of ideas – is central to the initiative. It seeks to encourage “learning communities” in which museums and libraries are dynamic partners in providing learning resources and expertise that support formal and informal lifelong learning.

A vast array of institutions and services that develop and deliver content seek to serve the needs of learners throughout their lives. The list is long; from Headstart and youth groups to Elderhostel; from community and government organizations to churches; from online resources and the daily newspaper to public broadcasting; from schools and higher education to work force development, and more. In learning communities, institutions are responsive and flexible, enabling them to identify common missions, goals and constituencies and collaborate to benefit the learner.

21st Century Learner projects most often involve partnerships with other institutions and organizations. 21st Century Learner projects do not necessarily involve the use of digital information technology, although such technology may be appropriate to some projects. IMLS funding is directed toward enhancing the ability of libraries and museums to build partnerships that promote learning communities and lifelong learning.

Prospective applicants for National Leadership Grants may find the IMLS publication “The 21st Century Learner” (<http://www.imls.gov/pubs/pdf/pub21cl.pdf>), which describes a number of successful projects that illustrate the concept of 21st century learning, helpful as they develop project ideas.

DETERMINING THE APPROPRIATE FUNDING PROGRAM

In 2003, IMLS is initiating a new funding program, *Recruiting and Educating Librarians for the 21st Century* (see http://www.imls.gov/grants/library/lib_bdre.htm). Proposals relating to the recruitment and basic education of new and prospective librarians, whether or not they are currently employed in a library, should be submitted under the new program. Proposals for pre-professional training, and which are intended to recruit new librarians, should explain how the proposed project will

ultimately help to increase the number of students enrolled in graduate library programs and how this information will be tracked.

Innovative proposals to enhance the skills of current librarians and library staff, but that are NOT intended to increase the number of professional librarians, should be submitted under the Continuing Education, Curriculum Development, and Training category of the National Leadership Grant program.

Proposals for research to support the successful recruitment of new librarians, including research to establish baseline data and evaluate current programs in library education, should be submitted under the *Recruiting and Educating Librarians for the 21st Century* program (http://www.imls.gov/grants/library/lib_bdre.htm). Proposals for *other* research in library and information sciences should be submitted under the Research and Demonstration category of the National Leadership Grant program.

CATEGORIES OF FUNDING

CONTINUING EDUCATION, CURRICULUM DEVELOPMENT, AND TRAINING

Supports model programs of continuing education, curriculum development, and training in library and information science. Proposals should address retention issues as well as intended learning outcomes.

PRIORITIES:

- Projects that implement innovative approaches to continuing education, curriculum development, or specialized training for current librarians, students, and library staff; or
- Projects that train librarians and library staff to enhance people's ability to find, evaluate, and use information effectively in the 21st century. This includes projects that foster the abilities of libraries to build community partnerships that will support the development of learning communities and the needs of all learners throughout their lifetimes.

RESEARCH AND DEMONSTRATION

IMLS encourages strong proposals for research in library science and for demonstration projects to test potential solutions to problems. For the purposes of these guidelines, the term *research* means both basic and applied research. Research proposals should pose a question and explain through the plan of work how the question will be investigated, how data will be gathered and analyzed, and how results will be evaluated and disseminated. Applied research may include testing in a real world environment, but it must be carried out through an investigative methodology. Results of research must be generalizable. The term *demonstration* means the development and testing of either one potential solution to a problem or more than one solution, with evaluation and testing in a real world environment. For information regarding the cost sharing requirements for research and demonstration projects, refer to the section Cost Sharing under Conditions of a Grant, page 1.7.

PRIORITIES:

- Projects that conduct research and/or demonstrations to enhance the individual's ability to make more effective use of information resources in the 21st century and that support the needs of all learners throughout their lifetimes; or
- Projects that conduct research and/or demonstrations to enhance library services through the effective and efficient use of new and appropriate technologies; or
- Collaborative projects that lead to the development of new standards for library services; or
- Projects that conduct research and/or demonstrations that assist in the evaluation of library services, including costs and benefits. Benefits may encompass economic, social, and cultural impacts, as well as other contributions; or
- Projects that conduct research on users' information needs, expectations, and results, including user studies, usability studies and outcomes; and specifically
- One project to conduct a large national survey of the information needs and expectations of users of *online* information, and of the impacts of having such information. IMLS intends to make a single award for this priority. The project will be carried out in collaboration with IMLS. Contact IMLS for more information.
- Projects to add value to already-digitized collections as a demonstration of interoperability with the National Science Foundation's National Science Digital Library Program. Added value may include additional metadata, development of curriculum materials, or other enhancements to increase the usefulness of the collection(s) for science education. There are no subject limitations on collections, but applicants should explain how the materials could be useful for science education. Contact IMLS for more information.

**PRESERVATION
OR
DIGITIZATION**

This category of funding supports model programs to help preserve library resources, to develop model projects and best practices for digitization, and to digitize collections of national value. Proposals that help librarians take a leadership role in developing learning communities are strongly encouraged. In particular, proposals that provide evidence of the usefulness of the materials for research, education, or learning; identify the potential audience; and include user outcomes in their evaluation plans will improve their chances of funding. Projects that enhance interoperability, integration, and seamless access to digital resources are also strongly encouraged. Leadership projects in the areas of Digitization and Preservation are encouraged to build on the successes of prior projects. See additional information for digitization projects under Guidance for Digitization Projects, page 3.4.

PRIORITIES:

- Projects that preserve and enhance access to valuable library resources useful to the broader community in the 21st century and that foster the abilities of libraries to build community partnerships that support the development of learning communities and the needs of all learners throughout their lifetimes; or
- Projects that address the challenges of preserving and archiving digital media; or
- Collaborative projects, especially projects of a state-wide, regional or national scope, designed to increase access to related collections; collaborative projects that provide evidence of good stewardship of materials in all formats; and that exemplify or help to develop standards and best practices for the creation and management of digital collections.

National Leadership Grants for Museums Program

Deadline	March 1
Amount of Grant:	\$15,000-\$500,000
Grant Period:	Up to Three Years
Matching Requirement:	1:1 for requests over \$250,000, except research projects (see section on Cost Sharing, page 1.7). Cost sharing of at least 1/3 encouraged for requests under \$250,000 and for research projects.
Eligibility:	See page 1.4
Program Contact:	Dan Lukash (202) 606-4644, dlukash@imls.gov

PROGRAM OVERVIEW

National Leadership Grants for Museums are awarded to museums and professional museum organizations to enhance the quality of museum services nationwide across three broad areas of funding. National Leadership Grants are intended to produce useful results for the broader museum community. Funded projects must address the key concepts of leadership and national impact – that is, the degree to which they creatively address issues of national concern and provide potential solutions to problems, including models for other organizations to emulate (see Application Evaluation Criteria, pages 3.2–3.3).

The most successful proposals result from careful planning, including identification of a problem, assessment of potential solutions, development of a proposed approach, and gathering of key people and resources to test or demonstrate proposed solutions. Partnerships among institutions to achieve a broader vision and leverage resources are encouraged in all categories in order to maximize the impact of federal funding.

For the purposes of these guidelines, the term *research* means both basic and applied research. Research proposals should pose a question and explain through the plan of work how the question will be investigated, how data will be gathered and analyzed, and how results will be evaluated and disseminated. Applied research may include testing in a real world environment, but it must be carried out through an investigative methodology. Results of research must be generalizable. For Cost Sharing requirements for research and demonstration projects, refer to the section on Cost Sharing under Conditions of a Grant, page 1.7.

21ST CENTURY LEARNER INITIATIVE

The Institute of Museum and Library Services especially invites applicants to submit projects focused on enhancing opportunities for the 21st Century Learner. The concept seeks to build the capacity of libraries and museums to support the needs of lifelong learners and to foster learning communities. The vision for the 21st Century Learner Initiative is that museums and libraries are recognized as places that encourage and support free-choice, lifelong learning.

The 21st Century Learner Initiative places the needs of the learner at its center. We are a nation of learners continuously pursuing learning, independently and collectively, throughout our lives. A goal of the initiative is that learners are invited to use and become accustomed to using library and museum resources to explore issues that they value, to gain understanding of the world and to take part in their communities. Programs are developed to support needs identified by learners.

The idea that learning in the future will increasingly take place within networks – of people, of information, and of ideas – is central to the initiative. It seeks to encourage “learning communities” in which museums and libraries are dynamic partners in providing learning resources and expertise that support formal and informal lifelong learning.

A vast array of institutions and services that develop and deliver content seek to serve the needs of learners throughout their lives. The list is long; from Headstart and youth groups to Elderhostel; from community and government organizations to churches; from online resources and the daily newspaper to public broadcasting; from schools and higher education to work force development, and more. In learning communities, institutions are responsive and flexible, enabling them to identify common missions, goals and constituencies and collaborate to benefit the learner.

21st Century Learner projects most often involve partnerships with other institutions and organizations. 21st Century Learner projects do not necessarily involve the use of digital information technology, although such technology may be appropriate to some projects. IMLS funding is directed toward enhancing the ability of libraries and museums to build partnerships that promote learning communities and lifelong learning.

Prospective applicants for National Leadership Grants may find the IMLS publication “The 21st Century Learner” (<http://www.imls.gov/pubs/pdf/pub21cl.pdf>), which describes a number of successful projects that illustrate the concept of 21st century learning, helpful as they develop project ideas.

CATEGORIES OF FUNDING

MUSEUMS ONLINE

Addresses the technological needs and issues of museums. This is the first Federal program designed to specifically make technology available to all types of museums. Support is given for model projects that address the challenges and potential

applications of new technologies and/or demonstrate the educational impact of connecting museums and their communities through technology. With this support, museums will share the ideas and information in thousands of museum collections with classrooms, community centers, and homes across America.

PRIORITIES:

- Projects to help museums take a leadership role in the education of lifelong learners in the 21st century;
- Model partnerships between museums to explore the potential of multi-institutional digital collections, web sites, or other cooperative uses of technology; or
- Projects that investigate or develop innovative educational applications of technology; or
- Projects that investigate or develop innovative uses of currently available technology.

**MUSEUMS
IN THE
COMMUNITY**

Supports projects that cultivate interaction between museums and community organizations by providing the support for these relationships. Projects should strengthen museum services to youth, family, and adult audiences to promote lifelong learning and should emerge from the mission statements and long-term institutional goals of partnering institutions. A partnership is required for this category. Please see page 1.3 for details. All members of the partnership should contribute to the project activities.

PRIORITIES:

- Projects to help museums take a leadership role in the education of lifelong learners in the 21st century; or
- Projects that strengthen long term relationships between museums and community organizations with an emphasis on how the project meets the documented needs of the community.

**PROFESSIONAL
PRACTICES**

Supports projects that improve professional practices in the museum field. This includes projects using research to improve museum operations; projects to identify or develop innovative or more effective methods of museum operations; projects to collect, assess or develop information and research that will serve the field; and projects that create opportunities to improve professional practices through training or the development of new materials. Project design could include direct dissemination of information through workshops, seminars, and courses or indirect communication through publications and web sites.

PRIORITIES:

- Projects to help museums take a leadership role in the education of lifelong learners in the 21st century; or
- Research and/or impact studies to investigate issues in the museum field; or
- Projects that address changing patterns of museum operations with the application of new technology; or
- Projects that develop, document, and disseminate model programs of partnership between museum associations and museums.

National Leadership Grants for Library and Museum Collaborations Program

Deadline:	April 1
Amount of Grant:	\$15,000-\$500,000
Grant Period:	Up to Three Years
Matching Requirement:	1:1 for requests over \$250,000, except research projects (see section on Cost Sharing, page 1.7). Cost sharing of at least 1/3 encouraged for requests under \$250,000 and for research projects.
Eligibility:	See pages 1.5–1.6
Program Contact:	Jeanne McConnell (202) 606-5389, jmccconnell@imls.gov

PROGRAM OVERVIEW

LIBRARY AND MUSEUM COLLABORATIONS

This program supports innovative projects that model how museums and libraries of all types can work together and with other organizations to expand their services to the public. IMLS encourages multi-institutional partnerships that are based on shared purposes and clientele, partnerships that will support the development of independent learners in the 21st century and build alliances within communities. This category requires collaboration between at least one eligible library applicant and at least one eligible museum applicant (see Eligibility Criteria and Partnership requirements, pages 1.3-1.4). Other partners such as schools, the media, community organizations, foundations, and corporations may also contribute to a proposal's competitiveness and to a funded project's success. All participants should be active contributors to and beneficiaries of project activities.

The most successful proposals result from careful planning, including identification of a problem, assessment of potential solutions, development of a proposed approach, and gathering of key people and resources to test or demonstrate proposed solutions. Partnerships among institutions to achieve a broader vision and leverage resources are encouraged in all categories in order to maximize the impact of federal funding.

For the purposes of these guidelines, the term *research* means both basic and applied research. Research proposals should pose a question and explain through the plan of work how that question will be investigated, how data will be gathered and analyzed, and how results will be evaluated and disseminated. Applied research may include testing in a real world environment, but it must be carried out through an investigative methodology. Results of research must be generalizable. For cost sharing requirements for research projects, refer to the section on Cost Sharing under Conditions of a Grant, page 1.7.

Projects whose sole purpose is institutional planning are discouraged.

21ST CENTURY LEARNER INITIATIVE

The Institute of Museum and Library Services especially invites applicants to submit projects focused on enhancing opportunities for the 21st Century Learner. The concept seeks to build the capacity of libraries and museums to support the needs of lifelong learners and to foster learning communities. The vision for the 21st Century Learner Initiative is that museums and libraries are recognized as places that encourage and support free-choice, lifelong learning.

The 21st Century Learner Initiative places the needs of the learner at its center. We are a nation of learners continuously pursuing learning, independently and collectively, throughout our lives. A goal of the initiative is that learners are invited to use and become accustomed to using library and museum resources to explore issues that they value, to gain understanding of the world and to take part in their communities. Programs are developed to support needs identified by learners.

The idea that learning in the future will increasingly take place within networks – of people, of information, and of ideas – is central to the initiative. It seeks to encourage “learning communities” in which museums and libraries are dynamic partners in providing learning resources and expertise that support formal and informal lifelong learning.

A vast array of institutions and services that develop and deliver content seek to serve the needs of learners throughout their lives. The list is long; from Headstart and youth groups to Elderhostel; from community and government organizations to churches; from online resources and the daily newspaper to public broadcasting; from schools and higher education to work force development, and more. In learning communities, institutions are responsive and flexible, enabling them to identify common missions, goals and constituencies and collaborate to benefit the learner.

21st Century Learner projects most often involve partnerships with other institutions and organizations. 21st Century Learner projects do not necessarily involve the use of digital information technology, although such technology may be appropriate to some projects. IMLS funding is directed toward enhancing the ability of libraries and museums to build partnerships that promote learning communities and lifelong learning.

Prospective applicants for National Leadership Grants may find the IMLS publication “The 21st Century Learner” (<http://www.imls.gov/pubs/pdf/pub21cl.pdf>), which describes a number of successful projects that illustrate the concept of 21st century learning, helpful as they develop project ideas.

PRIORITIES:

- Projects to help museums and libraries take a leadership role in building community partnerships that will support the development of learning communities in the 21st century and the needs of all learners throughout their lifetimes; or
- Projects that develop, document, evaluate, and disseminate model programs of cooperation between libraries and museums; or

- Projects that support research and other activities to enhance interoperability, integration, and seamless access to digital library and museum resources, particularly projects that are of state-wide, regional, or national scope; or
 - Projects to develop innovative approaches to the use of broadband technologies for learning. IMLS intends to make one or more awards for this priority.
- Notice: see special RFP for Broadband Applications at:
<http://www.imls.gov/whatsnew/current/030703.htm>

**COMPLETING
THE
APPLICATION
NARRATIVE**

Application Evaluation Criteria

A Narrative of no more than 10 single-spaced, one-sided pages should address the Evaluation Criteria listed on the following two pages. Identify the discussion of each criterion within the Narrative using headings, bold type, and a list of references to page or section numbers. Follow the order listed in the criteria where possible. Do not exceed the 10 page limit. The Narrative should explain what need the project will meet and should provide sufficient information for reviewers to evaluate all criteria. Detailed budget discussions should be included in budget justification. Planning documents that informed the project design, such as needs assessments or digitization plans, should be attached as appendices. For more information about the Narrative, see page 4.3.

All eligible projects will be evaluated on the basis of the following criteria:

NATIONAL IMPACT

Degree to which the project reflects an understanding of current issues related to library, museum, or library and museum services; creatively addresses issues facing other museums or libraries of similar size or discipline and projects a vision of potential change in the field that could result from the project. Degree to which the project is likely to have a far-reaching impact through results or products that will benefit multiple institutions and constituencies. Leadership proposals may carry a risk of failure, but should demonstrate how potential benefits outweigh risks.

ADAPTABILITY

Evidence that the project will create, implement and document workable models that have the potential for successful, wide-scale adaptation by institutions of similar size, discipline or resources or will produce wide-reaching results. Degree to which project processes or outcomes have potential applications in other settings and are made available so that others may adapt them for their own use. For projects involving digital collections, degree to which the project demonstrates interoperability in its broadest context and potential for integration into larger scale initiatives. For research projects the proposal should present evidence that the results will be generalizable. See definition of research on pages 2.4, 2.6, and 2.9.

DESIGN

Evidence that the project designers have identified an audience, performed a formal or informal assessment of their needs, and have designed this project as the best solution to answer those needs. Extent to which the project proposes efficient, effective, and successful approaches to accomplish clear goals and objectives. Extent to which the project is of sufficient scope to effect systemic change within organizations and across organizations. Extent to which the proposal explains the context of the proposed project: what relevant work has been done (including citations as appropriate) and what the proposed project will contribute. Extent to which the application utilizes existing or emerging standards or best practices in the technical area to which the project relates.

**MANAGEMENT
PLAN**

Evidence that the project activities will be effectively completed, that the applicant institution is capable of carrying out the project to its successful conclusion through the deployment and management of resources including money, facilities, equipment, and supplies, and that financial management will be sound.

BUDGET

Appropriateness and cost efficiency of budget to complete project activities. Reviewer evaluation will include Narrative, Budget Justification, and Budget Forms.

CONTRIBUTIONS

Demonstration of commitment to the project by contributions to cost sharing from the applicant organization, from any partners and from other public or private sources. Applicants are generally expected to share the costs of projects. See information under Cost Sharing, page 1.7.

PERSONNEL

Evidence that the project personnel are qualified to accomplish project goals and activities. Extent to which personnel commit adequate time to manage and implement the project activities. Extent to which personnel demonstrate appropriate experience and expertise in the specific area the project addresses.

**PROJECT
EVALUATION**

Description of design, integration, and implementation of an assessment method that will describe clear and measurable project outcomes, findings, or products (depending on project goals). Evidence that evaluation will provide reliable information on which to judge impact or base actions. The best evaluation plans tie evaluation measures directly to project goals. IMLS strongly encourages outcome-based evaluation whenever it is appropriate for the type of project proposed and will offer specific training to new grantees on this method. Information about outcome-based evaluation can be found on the IMLS Web site (http://www.imls.gov/grants/current/crnt_obc.htm) or may be requested from IMLS.

For research projects the proposal should provide evidence that care has been taken to ensure that results will be valid and reliable. See definition of research on pages 2.4, 2.6, and 2.9.

DISSEMINATION

Extent to which the results, products, processes or benefits will be made transparent and accessible through effective communication channels in the museum and library fields so that the results of the project will continue beyond the term of the project period. While projects are encouraged to establish web sites to report progress and results, dissemination plans should include a variety of appropriate media and should be understandable and accessible to a broad and diverse audience.

SUSTAINABILITY

Extent to which the project's benefits will continue beyond the grant period, either through ongoing institutional support of project activities or products, development of institutional expertise and capacity, or through broad access to project findings. Extent to which project will lead to systemic change within the institution as well as within the museum and/or library field.

Guidance for Digitization Projects

INFORMATION TO INCLUDE IN PROPOSAL

In the proposal narrative, describe the subject matter and its significance, including relationships to related collections. Explain how the material was or will be selected for digitization. Describe the additional value that digitization will bring to the materials, such as enabling innovative new uses or attracting new audiences. Describe how potential users will discover the collection. The application also includes a form, *Specifications for Projects Involving Digitization* (see p. 5.12), which must be completed and submitted with the application. Funded digitization projects are expected to report their projects to a national level registry of digital resources and/or national bibliographic utility, as appropriate.

INTEROPERABILITY

Digitization projects should follow existing standards and best practices where applicable and should be interoperable with other collections.

DIGITIZATION PLANS

Applicants for digitization projects are strongly encouraged to develop a digitization plan before writing the grant application, and to include a copy of the plan as an appendix to the application. Sample digitization plans are provided on the following web sites:

- <http://coloradodigital.coalliance.org/project.html> – The Colorado Digitization Project.
- <http://www.nedcc.org/dighand.htm> – The Northeast Document Conservation Center's *Handbook for Digital Projects: A Management Tool for Preservation and Access*.

RESOURCES FOR DIGITIZATION PROJECTS

IMLS has published *A Framework of Guidance for Building Good Digital Collections* as a resource for applicants planning digitization projects. Available at <http://www.imls.gov/pubs/forumframework.htm>, this document contains links to many web sites with useful information for planning and implementing digitization projects. Some additional sites are:

- http://www.imls.gov/grants/library/lib_nlg.asp (scroll to bottom of page) – The IMLS Web site provides examples of funded digitization projects.
- <http://memory.loc.gov/ammem/ftpfiles.html> – The Library of Congress' American Memory Project has useful technical information for digitization projects.
- <http://coloradodigital.coalliance.org/toolbox.html> – The Colorado Digitization Project's Web site has a page devoted to Digital Project Resources that includes information about copyright, metadata, digitization standards and administrative concerns.
- <http://www.clir.org/diglib/publications.htm> – The Digital Library Federation has publications on a range of topics, including digital image management and preservation.
- <http://www.rlg.org/preserv/diginews/> – The Research Libraries Group's *DigiNews*, a bimonthly web-based newsletter.
- <http://www.umuc.edu/distance/odell/cip> – Center for Intellectual Property and Copyright in the Digital Environment by the Office of Distance Education and Lifelong Learning at University of Maryland University College
- <http://www.iupui.edu/~copyinfo> – Copyright Management Center (CMC) Indiana University-Purdue University Indianapolis
- <http://www.dlib.org> – D-Lib Magazine has many articles on preservation of digital materials.

**PREPARING
AND SENDING
THE
APPLICATION**

**SEE INFORMATION
ON ELECTRONIC FORMS,
PAGE 4.2**

How to Assemble the Application Package

An application requesting National Leadership Grants support should include the following materials organized in the order listed:

1. Face Sheet
2. Application Checklist
3. Abstract
4. Narrative
5. Schedule of Completion
6. Project Budget (Detailed, Summary, and Budget Justification)
7. Current, Federally Negotiated Rate for Indirect Costs, if applicable
8. Specifications for Projects Involving Digitization, if applicable
9. Partnership Statement, if applicable
10. Proof of Non-profit status, if applicable
11. Applicant(s) Organizational Profile
12. Signed Assurances Form
13. Resume(s) for key project personnel
14. Attachments

Please see page 4.7 for more information.

The applicant must submit one unstapled, loose-leafed original [with original signature(s) of authorizing official(s)] plus 10 copies of the entire application (1+10=11), plus two additional copies of the Face Sheet. Do not place the original or copies in binders or notebooks.

Applicants are requested to submit an electronic copy of items 1, 3, and 4 on a 3.5 inch disk, formatted as a text file (.txt) or rich text file (.rtf) (formatting of the Face Sheet need not be replicated). No submitted application materials will be returned.

ELECTRONIC FILL-IN APPLICATION FORMS

IMLS now makes all application forms available on our Web site in PDF (Portable Document File) format for download. Applicants can download the electronic version of an IMLS application form and, using freely available software, type into the forms on any computer. This eliminates the need for a typewriter or for re-creation of IMLS application forms. Note that the forms cannot be submitted electronically but can be completed online and then printed on the applicant's printer and mailed. **Caution:** the forms cannot be saved, so they must be completely filled in and printed in one operation. To access the fill-in application forms, visit <http://www.imls.gov/grants/appl/index.htm>. Alternatively, applicants may recreate the forms electronically following the IMLS format or may type on printed forms.

FACE SHEET

The Face Sheet is provided as page 5.3 in the Application Form section of this document. Use or replicate this form. This page is available as a fill-in form on the IMLS Web site.

APPLICATION CHECKLIST

The Checklist is provided as page 5.2 in the Application Forms section of this document. This page is available as an electronic fill-in form on the IMLS web site (see page 4.2). Use the Checklist to help you arrange the sections of the application in the correct order.

ABSTRACT

An Abstract of no more than one page, single spaced (600 word maximum) containing the following elements: 1) Project title; 2) Description of project goals and major activities; and 3) Anticipated results.

NARRATIVE

- The Narrative must:
- Conform to the space limits
 - Do not exceed 10 single-spaced, one-sided pages
 - Use 8.5 by 11 inch paper
 - Leave a margin of at least .5 inch on all sides
 - Number all pages
 - Use a typeface that contains no more than six lines per vertical inch
 - Use a typeface with standard spacing between letters
 - Do not use a condensed typeface
 - *Handwritten applications will not be accepted.*
 - Should address the Evaluation Criteria listed on pages 3.2-3.3
 - Use headings, bold type, a list of references to page of section numbers, or some means to lead reviewers to the discussion of each evaluation criteria (see pages 3.2–3.3)
 - *National Impact*
 - *Adaptability*
 - *Design*
 - *Management Plan*
 - *Budget*
 - *Contributions*
 - *Personnel*
 - *Project Evaluation*
 - *Dissemination*
 - *Sustainability*
 - Follow the order listed in the criteria where possible
 - Explain what need the project will meet
 - Provide sufficient information for reviewers to evaluate all criteria
 - Include detailed budget discussions in budget justification
 - Attach as appendices any planning documents that informed the project design, such as needs assessments or digitization plans

SCHEDULE OF COMPLETION

The applicant must provide a Schedule of Completion that shows when each major project activity will be completed and how grant funds will be expended throughout the project. The Schedule of Completion should correspond to the activities described in the Narrative. It should include direct costs requested from IMLS for each activity. A Sample Schedule of Completion is provided on page 5.14. The applicant need not follow the sample format but should provide the same information, indicating milestones for completion of each major project activity and showing how grant funds are to be spent over the course of the project.

BUDGET

The proposal must include a Detailed Budget, a Summary Budget and Budget Justification that explain the elements of the Detailed Budget. The budget should include costs to be supported by IMLS funds, applicant and third party matching and cost sharing, and any costs to be supported by other Federal agencies.

Only those costs attributable to achieving specific project activities should be included in the budget. Refer to requirements for Cost Sharing and Use of Funds under Conditions of a Grant (page 1.7) in preparing the budget. These budget pages are available as electronic fill-in forms on the IMLS Web site (see page 4.2).

DETAILED BUDGET

A Detailed Budget should include cost categories identified in the sample budget layout and should identify whether support is requested from IMLS or is contributed. All of the items listed, whether supported by grant funds or cost-sharing contributions, must be reasonable, necessary to accomplish project objectives, allowable in terms of the applicable federal cost principles, auditable, and incurred during the grant period. For services to be outsourced, the applicant should, whenever possible, provide detailed bids and justification of how the proposed contractor was selected. The budget should clearly and specifically identify sources of contributions. For third-party contributions, applicants must indicate whether the contributions are assured or pending. Consultant fees should identify costs by hourly rates or daily fees. The project budget should include \$2000 per year for travel to attend IMLS-designated meetings. For partnership projects, request \$4000 per year per project for this purpose.

INDIRECT COSTS

Indirect costs are expenses that relate to the National Leadership Grants project but that cannot be directly tied to project activities. Examples include miscellaneous photocopying, energy costs, and telephone. Items that are included as indirect costs may not also be listed as direct costs in the project budget.

To calculate your indirect costs, you must first determine your *modified* direct costs. Your modified direct costs are calculated by subtracting your major equipment purchases or large contracts (\$5000, or the amount your federally negotiated agreement allows) and any restrictions given in your individual indirect rate from your total direct costs; these large items artificially inflate the indirect costs.

Next, compute your indirect costs by taking a percentage of your project's modified direct costs according to one of the three methods described below:

- 1) If you *do not* have a Federally negotiated indirect cost rate, IMLS will not require you to negotiate one. Instead, you may use an indirect cost rate of 20 percent (or less) of the modified direct project costs. You may apply indirect costs *only* as part of your match or cost share; or

- 2) If you *do* have a Federally negotiated rate, you must apply that rate to your project budget as specified in your negotiated agreement. IMLS will pay indirect costs *only* on the part of project budget for which you are seeking IMLS funds. Indirect costs applied to the applicant or partner's share of the budget may be included *only* as

part of the match or cost share. If you are applying a Federally negotiated rate, you *must* include with your application a copy of the rate-negotiation agreement. This rate must be current on the date of *award*, not the date of application. Expired rate agreements will not be considered.

3) If you have a Federal rate *under negotiation*, but not yet finalized, you may apply that rate to your project budget. IMLS will pay indirect costs *only* on the part of the project budget for which you are seeking IMLS funds. Indirect costs applied to the applicant or partner's share of the budget may be included *only* as part of the match or cost share. You *must* include with your application copies of the rate-negotiation documentation. This rate must be current on the date of *award*, not the date of application. Expired rate agreements will not be considered.

State library agencies applying for National Leadership Grants for Libraries or National Leadership Grants for Library and Museum Collaborations are limited by statute to four percent for administrative costs.

SUMMARY BUDGET

The Summary Budget should clearly identify the amount requested from IMLS, the amount provided by the applicant, by any partners and from any other sources for cost sharing and matching (both cash and in-kind support). This page is available as an electronic fill-in form on the IMLS Web site (see page 4.2).

BUDGET JUSTIFICATION

The Budget Justification should explain all elements of the Detailed Budget. For example, the Budget Justification should explain the role that each person listed in the project budget will play. It should also provide justification for all proposed equipment, supplies, travel, services and other expenses. The applicant should provide specifications for all hardware and software for which IMLS funding is requested.

IMLS encourages applicants to contribute as cost sharing the salaries of permanent staff to be employed on a project in proportion to the amount of time they will spend on the project. If IMLS funding is requested for salaries of permanent staff, the proposal should explain why funds are requested for this purpose and how the regular duties of these individuals will be performed during the grant period. The Budget Justification should explain the role of any outside consultants and third-party vendors to be employed on the project and how each was identified and selected. Costs for third-party service providers should be documented by bids or otherwise justified.

Complete and submit the form on pages 5.12–5.13

**PARTNERSHIP
STATEMENT
(IF
APPLICABLE)**

A sample group Partnership Statement is provided on page 5.15. The Partnership Statement should confirm all conditions identified on pages 1.3–1.4 of these guidelines.

**PROOF OF
NON-PROFIT
STATUS (IF
APPLICABLE)**

If your organization is a private, non-profit organization (if you answered “Private Non-Profit” or “Other” on Line 25 of the Face Sheet) you must submit a copy of the IRS letter indicating your organization’s eligibility for non-profit status under the applicable provisions of the Internal Revenue Code of 1954, as amended. IMLS will not accept a letter of state sales tax exemption as proof of non-profit status.

**APPLICANT(S)
ORGANIZATIONAL
PROFILE**

The applicant and each official partner must provide an organizational profile of no more than one page that identifies the organization’s mission, service area and levels of service, placement within a parent organization (if applicable) and where within the organization the responsibility for the management of the proposed project activities would be assigned.

**SIGNED
ASSURANCES
FORM**

Complete this section last. To be considered for a grant, the applicant’s Authorizing Official must read the assurances and sign the accompanying certification statement. The Authorizing Official may be the organization’s chief executive officer, an official of the organization or its parent or sponsoring organization authorized to make such commitments on behalf of the organization, or the government official responsible for oversight of the organization.

The application is not complete unless it has been signed by the Authorizing Official.

RESUMES

Resumes or vitae of no more than two pages *each* for all key personnel (both staff and consultants) must be included.

ATTACHMENTS

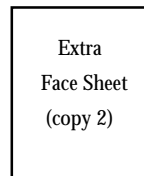
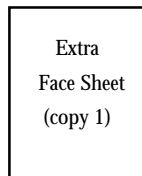
Applicants should include documents that specifically relate to the justification for the project. IMLS strongly encourages inclusion of needs assessments, reports from planning activities, products or evaluations from previously completed or ongoing projects of a similar nature or other documents for the evaluation of the proposal. Separately bound volumes or notebooks submitted as attachments will not be forwarded to reviewers.

How To Assemble the Application Package

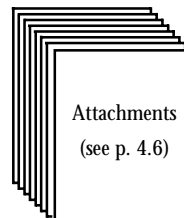
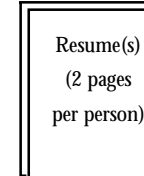
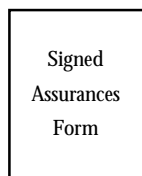
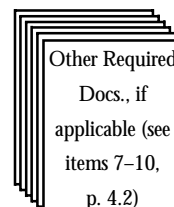
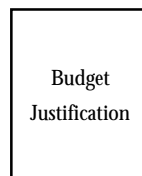
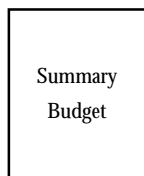
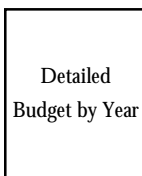
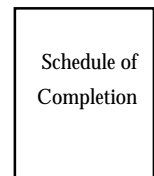
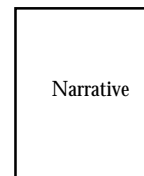
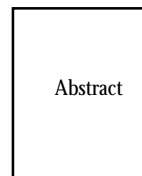
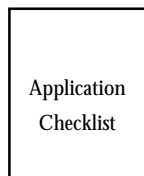
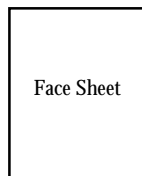
Review your application package carefully before sending it to us. You must include *all* of the required items listed below and the proper number of copies. (Each item is described in detail on pages 4.2–4.6.) *Your application is subject to rejection without review if any required item is missing.* If you have any questions, contact IMLS at (202) 606-5227 for National Leadership Grants for Libraries and for Library and Museum Collaborations or (202) 606-8539 for National Leadership Grants for Museums.

ASSEMBLE YOUR APPLICATION PACKAGE AS FOLLOWS

STEP 1: MAKE TWO PHOTOCOPIES OF YOUR FACE SHEET IN ADDITION TO YOUR ORIGINAL.



STEP 2: COLLATE ONE ORIGINAL (COMPLETE) COPY OF YOUR APPLICATION AS FOLLOWS:



TURN PAGE FOR FURTHER INSTRUCTIONS

STEP 3: MAKE TEN (10) IDENTICAL SETS OF THE MATERIAL YOU ASSEMBLED IN STEP 2.

STEP 4: COLLATE YOUR PILES FROM STEP 1-3 AS FOLLOWS:

Extra
Face Sheets
(2 Copies)

STEP 1

Original
Application

STEP 2

Ten (10)
copies of the
application

STEP 3

YOUR MATERIALS ARE NOW READY TO SEND TO IMLS.

Note: IMLS will not do your photocopying or collating!

Sending the Application to IMLS

Mail or hand-deliver NLG applications to:

National Leadership Grants for Libraries
Office of Library Services
Institute of Museum and Library Services
1100 Pennsylvania Avenue, NW, Room 802
Washington, DC 20506

by February 1

— OR —

National Leadership Grants for Museums
Office of Museum Services
Institute of Museum and Library Services
1100 Pennsylvania Avenue, NW, Room 609
Washington, DC 20506

by March 1

— OR —

National Leadership Grants for Library and Museum Collaborations by April 1
Office of Library Services
Institute of Museum and Library Services
1100 Pennsylvania Avenue, NW, Room 802
Washington, DC 20506

MAIL DELIVERY

All of the first-class and Priority mail sent to IMLS is put through an irradiation process, which results in lengthy delays in mail delivery. Please consider using commercial delivery services. Due to the length and number of copies required for complete submission, applications cannot be accepted by fax or e-mail.

Please be advised that support materials (e.g. CDs, videos, slides) put through the irradiation process are suffering irrevocable damage. If you are sending these kinds of materials, we encourage you to consider using alternate delivery services.

Every attempt is being made to accommodate late arriving mail. We appreciate your patience. If you do not receive an acknowledgment of receipt of application within one month of the deadline, please call IMLS to confirm receipt.

HAND DELIVERY

IMLS accepts hand-delivered applications between 9:00 a.m. and 4:30 p.m. (Eastern Time) daily, except Saturday, Sunday, and Federal holidays. IMLS will provide a dated receipt at the time of delivery.

IMLS ACKNOWLEDGMENT

Within 15 working days after the application deadline, IMLS will mail applicants an acknowledgment form with an application log number. If this form is not received, contact IMLS to make sure the application was received.

PROOF OF MAILING

IMLS may ask for proof of mailing if the postmark date on the package cannot be read. The U. S. Postal Service does not always postmark a package when it receives one. Ask to have the package dated, then verify that it is properly date stamped. IMLS will accept a legible receipt stamped by the U.S. Postal Service or a legible dated shipping label, invoice, or receipt from a commercial carrier. IMLS will not accept private metered postmarks or private mail receipts unless they contain a legible date stamped by the U. S. Postal Service. The green return receipt card does not meet the IMLS requirement for proof of mailing.

**APPLICATION
FORMS**

Application Checklist

Use this checklist to help you arrange the sections of the application in the correct order. This form is available as a fill-in form on the IMLS web site (see information on electronic forms, page 4.2).

- ☐ Face Sheet
- ☐ Application Checklist
- ☐ Abstract
- ☐ Narrative
- ☐ Schedule of Completion
- ☐ Project Budget
 - ☐ Detailed Budget
 - ☐ Summary Budget
 - ☐ Budget Justification
- ☐ Current, Federally Negotiated Rate for Indirect Costs, if applicable
- ☐ Specifications for Projects Involving Digitization, if applicable
- ☐ Partnership Statement, if applicable
- ☐ Proof of Non-Profit Status, if applicable
- ☐ Applicant(s) Organizational Profile
- ☐ Assurances/Certification of Authorizing Official
- ☐ Resumes of Key Personnel (no longer than two pages per person)
- ☐ Attachments, as appropriate
 - ☐ Report from Planning Activities (e.g., Needs Assessments, Digitization Plans)
 - ☐ Products or Evaluations from Previously Completed or Ongoing Projects of a Similar Nature
 - ☐ Other _____

Face Sheet

OMB No. 3137-0035
CFDA No. 45.312

1. Applicant Organization _____

2. Institutional Mailing Address _____

3. City _____

4. State _____

5. Zip Code _____

6. Web Address _____

7. Name of Project Director/Principal Investigator ☐ Mr. ☐ Ms. ☐ Dr. 8. Business Phone of Project Director _____

9. Project Director Mailing Address _____

10. City _____

11. State _____

12. Zip Code _____

13. Fax Number of Project Director _____

14. E-mail Address of Project Director _____

15. Name and Title of Authorizing Official _____

16. Business Phone of Authorizing Official _____

17. Sponsoring institution if applicable (e.g., municipality, state, or university)

☐ check if this entity will manage funds if an award is made. Name and address: _____18. Is the applicant organization university controlled? ☐ yes ☐ no

19. For museum applicants, Non-Federal operating budget for the most recently completed fiscal year \$ _____

20. Project Title _____

21. AMOUNT REQUESTED \$ _____

22. Amount of Matching Funds \$ _____

23. Grant Period (Starting Date) ____/____/____ — ____/____/____ (Ending Date)

24. In the space below, include names of any organizations that are official partners of the project.

25. Check governing control of applicant (select one) ☐ State ☐ County ☐ Private Non-Profit
☐ Municipal ☐ Tribal Government ☐ Other, please specify _____

26. Check Type of Organization (select one)

- | | |
|--|--|
| <input type="checkbox"/> Public Library | <input type="checkbox"/> Arboretum |
| <input type="checkbox"/> Academic Library | <input type="checkbox"/> Art museum |
| <input type="checkbox"/> School library or school district applying on behalf of a school library or libraries | <input type="checkbox"/> Children's/youth museum |
| <input type="checkbox"/> Special library | <input type="checkbox"/> General museum* |
| <input type="checkbox"/> Private non-profit library | <input type="checkbox"/> Museum library |
| <input type="checkbox"/> Archives | <input type="checkbox"/> Historic house/site |
| <input type="checkbox"/> Library consortium | <input type="checkbox"/> History Museum |
| <input type="checkbox"/> Library association | <input type="checkbox"/> Natural history museum |
| <input type="checkbox"/> State library agency | <input type="checkbox"/> Nature center |
| <input type="checkbox"/> Planetarium | <input type="checkbox"/> Museum organization |
| <input type="checkbox"/> State museum agency | <input type="checkbox"/> Science/technology museum |
| <input type="checkbox"/> Aquarium | <input type="checkbox"/> Zoo |
| <input type="checkbox"/> Institution of Higher Education | <input type="checkbox"/> Specialized** |
| | <input type="checkbox"/> Other, please specify _____ |

27. Employer identification number/tax ID number _____

28. Check Type of Project (select one)

For Libraries:

- ☐ Continuing Education, Curriculum Development, and Training
☐ Research and Demonstration
☐ Preservation or Digitization

For Museums:

- ☐ Museums Online
☐ Museums in the Community
☐ Professional Practices

For Library and Museum Collaborations:

- ☐ Library and Museum Collaborations

*A museum with collections representing two or more disciplines equally (e.g., art and history).

** A museum with collections limited to one narrowly defined discipline (e.g., textiles, stamps, maritime, ethnic group).

Project Budget Form

SECTION 1: DETAILED BUDGET

Year 1 - Budget Period from ____ / ____ / ____ to ____ / ____ / ____

Name of Applicant Organization _____

IMPORTANT! READ INSTRUCTIONS ON PAGES 4.4–4.5 BEFORE PROCEEDING.

SALARIES AND WAGES (PERMANENT STAFF)

NAME/TITLE	NO.	METHOD OF COST COMPUTATION	IMLS	APPLICANT	PARTNER(S) (IF APPLICABLE)	TOTAL
_____	()	_____	_____	_____	_____	_____
_____	()	_____	_____	_____	_____	_____
_____	()	_____	_____	_____	_____	_____
_____	()	_____	_____	_____	_____	_____
TOTAL SALARIES AND WAGES \$			_____	_____	_____	_____

SALARIES AND WAGES (TEMPORARY STAFF HIRED FOR PROJECT)

NAME/TITLE	NO.	METHOD OF COST COMPUTATION	IMLS	APPLICANT	PARTNER(S) (IF APPLICABLE)	TOTAL
_____	()	_____	_____	_____	_____	_____
_____	()	_____	_____	_____	_____	_____
_____	()	_____	_____	_____	_____	_____
_____	()	_____	_____	_____	_____	_____
TOTAL SALARIES AND WAGES \$			_____	_____	_____	_____

FRINGE BENEFITS

RATE		SALARY BASE	IMLS	APPLICANT	PARTNER(S) (IF APPLICABLE)	TOTAL
_____	% of \$	_____	_____	_____	_____	_____
_____	% of \$	_____	_____	_____	_____	_____
_____	% of \$	_____	_____	_____	_____	_____
TOTAL FRINGE BENEFITS \$			_____	_____	_____	_____

CONSULTANT FEES

NAME/TYPE OF CONSULTANT	RATE OF COMPENSATION (DAILY OR HOURLY)	NO. OF DAYS (OR HOURS) ON PROJECT	IMLS	APPLICANT	PARTNER(S) (IF APPLICABLE)	TOTAL
_____	_____	_____	_____	_____	_____	_____
_____	_____	_____	_____	_____	_____	_____
_____	_____	_____	_____	_____	_____	_____
_____	_____	_____	_____	_____	_____	_____
TOTAL CONSULTANT FEES \$			_____	_____	_____	_____

TRAVEL

FROM/TO	NUMBER OF: PERSONS DAYS	SUBSISTENCE COSTS	TRANSPORTATION COSTS	IMLS	APPLICANT	PARTNER(S) (IF APPLICABLE)	TOTAL
_____	() ()	_____	_____	_____	_____	_____	_____
_____	() ()	_____	_____	_____	_____	_____	_____
_____	() ()	_____	_____	_____	_____	_____	_____
_____	() ()	_____	_____	_____	_____	_____	_____
TOTAL TRAVEL COSTS \$				_____	_____	_____	_____

Project Budget Form

SECTION 1: DETAILED BUDGET CONTINUED

Year 1

MATERIALS, SUPPLIES AND EQUIPMENT

ITEM	METHOD OF COST COMPUTATION	IMLS	APPLICANT	PARTNER(S) (IF APPLICABLE)	TOTAL
_____	_____	_____	_____	_____	_____
_____	_____	_____	_____	_____	_____
_____	_____	_____	_____	_____	_____
TOTAL COST OF MATERIALS, SUPPLIES, & EQUIPMENT \$		_____	_____	_____	_____

SERVICES

ITEM	METHOD OF COST COMPUTATION	IMLS	APPLICANT	PARTNER(S) (IF APPLICABLE)	TOTAL
_____	_____	_____	_____	_____	_____
_____	_____	_____	_____	_____	_____
_____	_____	_____	_____	_____	_____
TOTAL SERVICES COSTS \$		_____	_____	_____	_____

OTHER

ITEM	METHOD OF COST COMPUTATION	IMLS	APPLICANT	PARTNER(S) (IF APPLICABLE)	TOTAL
_____	_____	_____	_____	_____	_____
_____	_____	_____	_____	_____	_____
_____	_____	_____	_____	_____	_____
TOTAL OTHER COSTS \$		_____	_____	_____	_____

TOTAL DIRECT PROJECT COSTS \$	_____	_____	_____	_____
--------------------------------------	-------	-------	-------	-------

INDIRECT COSTS

Check either item A or B and complete C. (See section on Indirect Costs, page 4.4.)

Applicant organization is using:

- ☐ A. an indirect cost rate which does not exceed 20% of modified total direct costs – may be listed only as cost sharing.
- ☐ B. Federally negotiated Indirect Cost Rate (see page 4.4).

Name of Federal Agency

Expiration Date of Agreement

C. Rate base(s)

Amount(s)

_____	%	of	\$	_____	=	\$	_____
_____	%	of	\$	_____	=	\$	_____
_____	%	of	\$	_____	=	\$	_____

	IMLS	APPLICANT	PARTNER(S) IF APPLICABLE	TOTAL
TOTAL INDIRECT COSTS CHARGED TO \$	_____	_____	_____	_____

Project Budget Form

SECTION 1: DETAILED BUDGET

Year 2 (if applicable) – Budget Period from ____ / ____ / ____ to ____ / ____ / ____

Name of Applicant Organization _____

IMPORTANT! READ INSTRUCTIONS ON PAGES 4.4–4.5 BEFORE PROCEEDING.

SALARIES AND WAGES (PERMANENT STAFF)

NAME/TITLE	No.	METHOD OF COST COMPUTATION	IMLS	APPLICANT	PARTNER(S) (IF APPLICABLE)	TOTAL
_____	()	_____	_____	_____	_____	_____
_____	()	_____	_____	_____	_____	_____
_____	()	_____	_____	_____	_____	_____
_____	()	_____	_____	_____	_____	_____
TOTAL SALARIES AND WAGES			\$	_____	_____	_____

SALARIES AND WAGES (TEMPORARY STAFF HIRED FOR PROJECT)

NAME/TITLE	No.	METHOD OF COST COMPUTATION	IMLS	APPLICANT	PARTNER(S) (IF APPLICABLE)	TOTAL
_____	()	_____	_____	_____	_____	_____
_____	()	_____	_____	_____	_____	_____
_____	()	_____	_____	_____	_____	_____
_____	()	_____	_____	_____	_____	_____
TOTAL SALARIES AND WAGES			\$	_____	_____	_____

FRINGE BENEFITS

RATE		SALARY BASE	IMLS	APPLICANT	PARTNER(S) (IF APPLICABLE)	TOTAL
_____	% of \$	_____	_____	_____	_____	_____
_____	% of \$	_____	_____	_____	_____	_____
_____	% of \$	_____	_____	_____	_____	_____
TOTAL FRINGE BENEFITS			\$	_____	_____	_____

CONSULTANT FEES

NAME/TYPE OF CONSULTANT	RATE OF COMPENSATION (DAILY OR HOURLY)	NO. OF DAYS (OR HOURS) ON PROJECT	IMLS	APPLICANT	PARTNER(S) (IF APPLICABLE)	TOTAL
_____	_____	_____	_____	_____	_____	_____
_____	_____	_____	_____	_____	_____	_____
_____	_____	_____	_____	_____	_____	_____
_____	_____	_____	_____	_____	_____	_____
TOTAL CONSULTANT FEES			\$	_____	_____	_____

TRAVEL

FROM/TO	NUMBER OF: PERSONS DAYS	SUBSISTENCE COSTS	TRANSPORTATION COSTS	IMLS	APPLICANT	PARTNER(S) (IF APPLICABLE)	TOTAL
_____	() ()	_____	_____	_____	_____	_____	_____
_____	() ()	_____	_____	_____	_____	_____	_____
_____	() ()	_____	_____	_____	_____	_____	_____
_____	() ()	_____	_____	_____	_____	_____	_____
TOTAL TRAVEL COSTS				\$	_____	_____	_____

Project Budget Form

SECTION 1: DETAILED BUDGET CONTINUED

Year 2

MATERIALS, SUPPLIES AND EQUIPMENT

ITEM	METHOD OF COST COMPUTATION	IMLS	APPLICANT	PARTNER(S) (IF APPLICABLE)	TOTAL
_____	_____	_____	_____	_____	_____
_____	_____	_____	_____	_____	_____
_____	_____	_____	_____	_____	_____
TOTAL COST OF MATERIALS, SUPPLIES, & EQUIPMENT \$		_____	_____	_____	_____

SERVICES

ITEM	METHOD OF COST COMPUTATION	IMLS	APPLICANT	PARTNER(S) (IF APPLICABLE)	TOTAL
_____	_____	_____	_____	_____	_____
_____	_____	_____	_____	_____	_____
_____	_____	_____	_____	_____	_____
TOTAL SERVICES COSTS \$		_____	_____	_____	_____

OTHER

ITEM	METHOD OF COST COMPUTATION	IMLS	APPLICANT	PARTNER(S) (IF APPLICABLE)	TOTAL
_____	_____	_____	_____	_____	_____
_____	_____	_____	_____	_____	_____
_____	_____	_____	_____	_____	_____
TOTAL OTHER COSTS \$		_____	_____	_____	_____

TOTAL DIRECT PROJECT COSTS \$	_____	_____	_____	_____
--------------------------------------	-------	-------	-------	-------

INDIRECT COSTS

Check either item A or B and complete C. (See section on Indirect Costs, page 4.4.)

Applicant organization is using:

- ☐ A. an indirect cost rate which does not exceed 20% of modified total direct costs - may be listed only as cost sharing
- ☐ B. Federally Negotiated Indirect Cost Rate (see page 4.4).

Name of Federal Agency

Expiration Date of Agreement

C.	Rate base(s)	Amount(s)		
_____	% of \$	_____	=	\$ _____
_____	% of \$	_____	=	\$ _____
_____	% of \$	_____	=	\$ _____

	IMLS	APPLICANT	PARTNER(S) IF APPLICABLE	TOTAL
TOTAL INDIRECT COSTS CHARGED TO \$	_____	_____	_____	_____

Project Budget Form

SECTION 1: DETAILED BUDGET

Year 3 (if applicable) - Budget Period from ____ / ____ / ____ to ____ / ____ / ____

Name of Applicant Organization _____

IMPORTANT! READ INSTRUCTIONS ON PAGES 4.4-4.5 BEFORE PROCEEDING.

SALARIES AND WAGES (PERMANENT STAFF)

NAME/TITLE	No.	METHOD OF COST COMPUTATION	IMLS	APPLICANT	PARTNER(S) (IF APPLICABLE)	TOTAL
_____	()	_____	_____	_____	_____	_____
_____	()	_____	_____	_____	_____	_____
_____	()	_____	_____	_____	_____	_____
_____	()	_____	_____	_____	_____	_____
TOTAL SALARIES AND WAGES \$			_____	_____	_____	_____

SALARIES AND WAGES (TEMPORARY STAFF HIRED FOR PROJECT)

NAME/TITLE	No.	METHOD OF COST COMPUTATION	IMLS	APPLICANT	PARTNER(S) (IF APPLICABLE)	TOTAL
_____	()	_____	_____	_____	_____	_____
_____	()	_____	_____	_____	_____	_____
_____	()	_____	_____	_____	_____	_____
_____	()	_____	_____	_____	_____	_____
TOTAL SALARIES AND WAGES \$			_____	_____	_____	_____

FRINGE BENEFITS

RATE		SALARY BASE	IMLS	APPLICANT	PARTNER(S) (IF APPLICABLE)	TOTAL
_____	% of \$	_____	_____	_____	_____	_____
_____	% of \$	_____	_____	_____	_____	_____
_____	% of \$	_____	_____	_____	_____	_____
TOTAL FRINGE BENEFITS \$			_____	_____	_____	_____

CONSULTANT FEES

NAME/TYPE OF CONSULTANT	RATE OF COMPENSATION (DAILY OR HOURLY)	No. OF DAYS (OR HOURS) ON PROJECT	IMLS	APPLICANT	PARTNER(S) (IF APPLICABLE)	TOTAL
_____	_____	_____	_____	_____	_____	_____
_____	_____	_____	_____	_____	_____	_____
_____	_____	_____	_____	_____	_____	_____
_____	_____	_____	_____	_____	_____	_____
TOTAL CONSULTANT FEES \$			_____	_____	_____	_____

TRAVEL

FROM/TO	NUMBER OF: PERSONS DAYS	SUBSISTENCE COSTS	TRANSPORTATION COSTS	IMLS	APPLICANT	PARTNER(S) (IF APPLICABLE)	TOTAL
_____	() ()	_____	_____	_____	_____	_____	_____
_____	() ()	_____	_____	_____	_____	_____	_____
_____	() ()	_____	_____	_____	_____	_____	_____
_____	() ()	_____	_____	_____	_____	_____	_____
TOTAL TRAVEL COSTS \$				_____	_____	_____	_____

Project Budget Form

SECTION 1: DETAILED BUDGET CONTINUED

Year 3

MATERIALS, SUPPLIES AND EQUIPMENT

ITEM	METHOD OF COST COMPUTATION	IMLS	APPLICANT	PARTNER(S) (IF APPLICABLE)	TOTAL
_____	_____	_____	_____	_____	_____
_____	_____	_____	_____	_____	_____
_____	_____	_____	_____	_____	_____
TOTAL COST OF MATERIALS, SUPPLIES, & EQUIPMENT \$		_____	_____	_____	_____

SERVICES

ITEM	METHOD OF COST COMPUTATION	IMLS	APPLICANT	PARTNER(S) (IF APPLICABLE)	TOTAL
_____	_____	_____	_____	_____	_____
_____	_____	_____	_____	_____	_____
_____	_____	_____	_____	_____	_____
TOTAL SERVICES COSTS \$		_____	_____	_____	_____

OTHER

ITEM	METHOD OF COST COMPUTATION	IMLS	APPLICANT	PARTNER(S) (IF APPLICABLE)	TOTAL
_____	_____	_____	_____	_____	_____
_____	_____	_____	_____	_____	_____
_____	_____	_____	_____	_____	_____
TOTAL OTHER COSTS \$		_____	_____	_____	_____

TOTAL DIRECT PROJECT COSTS \$	_____	_____	_____	_____
--------------------------------------	-------	-------	-------	-------

INDIRECT COSTS

Check either item A or B and complete C. (See section on Indirect Costs, page 4.4.)

Applicant organization is using:

- ☐ A. an indirect cost rate which does not exceed 20% of modified total direct costs - may be listed only as cost sharing
- ☐ B. Federally Negotiated Indirect Cost Rate (see page 4.4).

Name of Federal Agency

Expiration Date of Agreement

C.	Rate base(s)	Amount(s)		
_____	% of \$	_____	=	\$ _____
_____	% of \$	_____	=	\$ _____
_____	% of \$	_____	=	\$ _____

	IMLS	APPLICANT	PARTNER(S) IF APPLICABLE	TOTAL
TOTAL INDIRECT COSTS CHARGED TO \$	_____	_____	_____	_____

Project Budget Form

SECTION 2: SUMMARY BUDGET

Name of Applicant Organization _____

IMPORTANT! READ INSTRUCTIONS ON PAGES 4.4–4.5 BEFORE PROCEEDING.

DIRECT COSTS

	IMLS	Applicant	Partner(s) (if applicable)	Total
SALARIES & WAGES	_____	_____	_____	_____
FRINGE BENEFITS	_____	_____	_____	_____
CONSULTANT FEES	_____	_____	_____	_____
TRAVEL	_____	_____	_____	_____
MATERIALS, SUPPLIES & EQUIPMENT	_____	_____	_____	_____
SERVICES	_____	_____	_____	_____
OTHER	_____	_____	_____	_____
TOTAL DIRECT COSTS	\$ _____	\$ _____	\$ _____	\$ _____

INDIRECT COSTS *

If you do not have a current Federally negotiated rate, your indirect costs must appear in the Applicant or Partner columns only. If you have a current Federally negotiated rate, you may request indirect costs from IMLS only on the direct project costs requested from IMLS.

TOTAL PROJECT COSTS \$ _____

AMOUNT OF CASH-MATCH

\$ _____ \$ _____

AMOUNT OF IN-KIND CONTRIBUTIONS

\$ _____ \$ _____

(INSTITUTIONAL COST-SHARING), INCLUDING INDIRECT COSTS

TOTAL AMOUNT OF MATCH (CASH & IN-KIND CONTRIBUTIONS)

\$ _____

AMOUNT REQUESTED FROM IMLS, INCLUDING INDIRECT COSTS

\$ _____

PERCENTAGE OF TOTAL PROJECT COSTS REQUESTED FROM IMLS

_____ %

(MAY NOT EXCEED 50% IF REQUEST EXCEEDS \$250,000 – RESEARCH PROJECTS EXCEPTED, SEE COST SHARING ON PAGE 1.7)

Have you received or requested funds for any of these project activities from another Federal agency?
(Please check one) ☐ Yes ☐ No

If yes, name of agency _____

Date of application _____ or award _____ Amount requested or received \$ _____

Specifications for Projects Involving Digitization

1. Describe types of materials to be digitized (i.e., artifacts, maps, manuscripts, photographs, audio recordings, video recordings, motion pictures) and number of each:

2. Identify copyright issues and other potential restrictions:

☐ Public domain ☐ Permissions have been obtained

☐ Permissions to be requested - Plan to address: _____

☐ Privacy concerns - Plan to address: _____

☐ Other - Explain: _____

3. List the equipment, with specifications, whether purchased, leased, or outsourced, that will be used (e.g., camera, scanner, server): _____

4. Specify each type of file format (e.g., TIFF, JPEG) to be produced and anticipated image quality of each (minimum resolution, depth, tone, pixels) :

☐ Master _____

☐ Access _____

☐ Thumbnail _____

☐ Formats for other media (e.g., audio, video, motion picture), include sampling rates, if applicable _____

5. Describe the quality control plan: _____

6. Estimate cost per image. Include costs such as scanning, quality control and indexing. Indicate the basis for calculation: _____

7. Explain how you will describe the content through metadata, including which standard you will use (e.g., MARC, EAD, Dublin Core): _____

8. Describe plans for preservation and maintenance of the digital files after the expiration of the grant period (i.e., storage systems, migration plans, and funding): _____

9. If you are producing collection-level records, describe plans for submitting collection-level descriptive records to a bibliographic utility, such as Research Libraries Information Network (RLIN) or Online Computer Library Center (OCLC). State reasons for selecting any alternative approaches:

10. Describe plans for submitting information about the project to a national level registry of digital resources, such as the Association of Research Libraries' Digital Initiatives Database (<http://www.arl.org/did/>) or OCLC's Cooperative Online Resource Catalog (<http://www.oclc.org/corc>). State reasons for selecting any alternative approaches:

11. Provide URL(s) for applicant's previously-digitized collections: _____

Sample Schedule of Completion

This sample Schedule of Completion provides sample project activities, a sample timeline, and sample funds expenditure for each activity. You need not follow the sample format but should provide the same project information. List each major project activity discussed in the Narrative. The dates on your Schedule of Completion must correspond with the project dates on the Face Sheet (pages 5.3–5.4). Identify summary costs for each activity. The total should equal the total amount of direct project costs, including IMLS funds, and match.

[illegible]

Total direct costs \$188,000

Sample Partnership Statement

This page is a sample format for a partnership application. Prepare yours in a similar manner. You may complete separate statements with each partner or add additional signature lines for multiple partners. Information about partnership applications is on pages 1.3–1.4. All partners must sign Partnership Statements. They do not need to all sign the same document.

1. Applicant Organization:

Other partner members (organizations):

2. Briefly list the activities that each organization has agreed to perform:

3. We, the undersigned institutions, agree to all of the following:

- We will carry out the activities described above and in the Application Narrative;
- We will use any funds we receive from IMLS in accordance with applicable Federal laws and regulations; and
- We assure that our facilities and programs comply with applicable Federal requirements.

Signature of Authorizing Official

Partner Organization (Type or Print)

Name of Authorizing Official (Type or Print)

Date

Signature of Authorizing Official

Partner Organization (Type or Print)

Name of Authorizing Official (Type or Print)

Date

Signature of Authorizing Official

Partner Organization (Type or Print)

Name of Authorizing Official (Type or Print)

Date

IMLS Assurances

The IMLS is required to obtain from all applicants certifications regarding federal debt status, debarment and suspension, non-discrimination, and a drug-free workplace. Applicants requesting more than \$100,000 in grant funds must also certify regarding lobbying activities and may be required to submit a "Disclosure of Lobbying Activities" (Standard Form LLL). Some applicants will be required to certify that they will comply with other federal statutes that pertain to their particular situation. These requirements are incorporated in the Assurances Statement below. Review the Statement and sign the certification form. If you receive a grant, you must comply with these requirements.

CERTIFICATION OF AUTHORIZING OFFICIAL

(The applicant organization's authorizing official should sign the following certification after all other parts of the application form have been completed)

I have examined this application, and I hereby certify on behalf of the applicant organization that

- 1) the information provided is true and correct; *and*
- 2) all requirements for a complete 2003 IMLS application have been fulfilled; *and*
- 3) the applicant is providing and will comply with the applicable certifications regarding federal debt status, debarment and suspension, nondiscrimination, drug-free workplace, and lobbying activities as set forth in the Assurances statement below.

Should my organization receive a grant, the organization and I will comply with all grant terms and conditions, all requirements of the IMLS Grants Regulations (45 CFR Part 1180 et seq.), all statutes outlined below, and all other applicable Federal statutes and regulations.

Signature of Authorizing Official

Date

Name and Title of Authorizing Official (printed or typed)

IMLS Regulations are available upon request.

ASSURANCES STATEMENT

By signing the application form, the authorizing official, on behalf of the applicant, assures and certifies that, should a grant be awarded, it will comply with the statutes outlined below and all related IMLS regulations. These assurances are given in connection with any and all financial assistance from IMLS after the date this form is signed, but may include payments after this date for financial assistance approved prior to this date. These assurances shall obligate the applicant for the period during which the Federal financial assistance is extended. The applicant recognizes and agrees that any such assistance will be extended in reliance on the representations and agreements made in these assurances, and that the United States government has the right to seek judicial enforcement of these assurances, which are binding on the applicant, its successors, transferees, and assignees, and on the authorized official whose signature appears on the application form.

I. CERTIFICATIONS REQUIRED OF ALL APPLICANTS**FINANCIAL,
ADMINISTRATIVE,
AND LEGAL
ACCOUNTABILITY**

The authorizing official, on behalf of the applicant, certifies that the applicant has legal authority to apply for Federal assistance and the institutional, managerial, and financial capability (including funds sufficient to pay the non-Federal share of project costs) to ensure proper planning, management, and completion of the project described in this application.

The authorizing official, on behalf of the applicant, certifies that the applicant will cause to be performed the required financial and compliance audits in accordance with the Single Audit Act Amendments of 1996 (31 U.S.C. § 7501 et seq.) and OMB Circular No. A-133, "Audits of States, Local Governments, and Non-Profit Organizations."

The authorizing official, on behalf of the applicant, certifies that the applicant will comply with the provisions of OMB Circular No. A-110, "Uniform Administrative Requirements for Grants and Other Agreements with Institutions of Higher Education, Hospitals, and Other Non-Profit Organizations."

**FEDERAL
DEBT STATUS**

The authorizing official, on behalf of the applicant, certifies to the best of his or her knowledge and belief that the applicant is not delinquent in the repayment of any federal debt.

**DEBARMENT
AND
SUSPENSION**

The authorizing official, on behalf of the applicant, certifies to the best of his or her knowledge and belief that the applicant and its principals:

- (a) are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from covered transactions by any federal department or agency;
- (b) have not within a three-year period preceding this proposal been convicted of or had a civil judgment rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (federal, state or local) transaction or contract under a public transaction, or in connection with a violation of federal or state antitrust statutes or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property;
- (c) are not presently indicted for or otherwise criminally or civilly charged by a governmental entity (federal, state or local) with commission of any of the offenses enumerated in paragraph (b) of this certification; and
- (d) have not within a three-year period preceding this application/proposal had one or more public transactions (federal, state or local) terminated for cause or default.

**NON-
DISCRIMINATION**

The authorizing official, on behalf of the applicant, certifies that the applicant will comply with the following nondiscrimination statutes and their implementing regulations:

- (a) Title VI of the Civil Rights Act of 1964, as amended (42 U.S.C. § 2000 et seq.), which prohibits discrimination on the basis of race, color, or national origin;
- (b) Section 504 of the Rehabilitation Act of 1973, as amended (29 U.S.C. § 701 et seq.), which prohibits discrimination on the basis of disability;

**DRUG-FREE
WORKPLACE
ACT OF
1988**

- (c) Title IX of the Education Amendments of 1972, as amended (20 U.S.C. §§ 1681-83, 1685-86), which prohibits discrimination on the basis of sex in education programs; and
 - (d) the Age Discrimination in Employment Act of 1975, as amended (42 U.S.C. § 6101 et seq.), which prohibits discrimination on the basis of age.
- (A) The authorizing official, on behalf of the applicant, certifies that the applicant will or will continue to provide a drug-free workplace by:
- (a) publishing a statement notifying employees that the unlawful manufacture, distribution, dispensing, possession or use of a controlled substance is prohibited in the grantee's workplace and specifying the action that will be taken against employees for violation of such prohibition;
 - (b) establishing an ongoing drug-free awareness program to inform employees about:
 - (1) the dangers of drug abuse in the workplace;
 - (2) the grantee's policy of maintaining a drug-free workplace;
 - (3) any available drug counseling, rehabilitation, and employee assistance programs; and
 - (4) the penalties that may be imposed on employees for drug abuse violations occurring in the workplace;
 - (c) making it a requirement that each employee to be engaged in the performance of the grant be given a copy of the statement required by paragraph (a);
 - (d) notifying the employee in the statement required by paragraph (a) that, as a condition of employment under the grant, the employee will
 - (1) abide by the terms of the statement; and
 - (2) notify the employer in writing of his or her conviction for a violation of a criminal drug statute occurring in the workplace not later than five calendar days after such conviction;
 - (e) notifying the agency in writing within ten (10) calendar days after receiving notice under subparagraph (d)(2) from an employee or otherwise receiving actual notice of such conviction. Employers of convicted employees must provide notice, including position title, to every grant officer on whose grant activity the convicted employee was working, unless the federal agency has designated a central point for the receipt of such notices. Notices shall include the identification number(s) of each affected grant;
 - (f) taking one of the following actions within thirty (30) days of receiving notice under subparagraph (d)(2) with respect to any employee who is so convicted:
 - (1) taking appropriate personnel action against such an employee, up to and including termination consistent with the requirements of the Rehabilitation Act of 1973, as amended (29 U.S.C. § 701 et seq.); or
 - (2) requiring such employee to participate satisfactorily in a drug abuse assistance or rehabilitation program approved for such purposes by a federal, state, or local health, law or other appropriate agency; and
 - (g) making a good faith effort to continue to maintain a drug-free workplace through implementation of paragraphs (a), (b), (c), (d), (e), and (f).
- (B) The applicant shall either identify the site(s) for the performance of work done in connection with the project in the application material or shall keep this information on file in its office so that it is available for federal inspection. The street address, city, county, state, and zip code should be provided whenever possible.

**CERTIFICATION
REGARDING
LOBBYING
ACTIVITIES
(APPLIES
TO
APPLICANTS
REQUESTING
FUNDS IN
EXCESS OF
\$100,000)**

- The authorizing official certifies, to the best of his or her knowledge and belief that:
- (a) no federal appropriated funds have been paid or will be paid, by or on behalf of the authorizing official, to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of a federal contract, the making of a federal grant, the making of a federal loan, the entering into of a cooperative agreement, or the extension, continuation, renewal, amendment, or modification of a federal contract, grant, loan, or cooperative agreement.
 - (b) if any funds other than appropriated federal funds have been paid or will be paid to any person (other than a regularly employed officer or employee of the applicant) for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this federal contract, grant, loan or cooperative agreement, the authorizing official shall request, complete, and submit Standard Form LLL, "Disclosure of Lobbying Activities," in accordance with its instructions.
 - (c) the authorizing official shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subcontracts, subgrants, and contracts under grants, loans, and cooperative agreements) and that all subrecipients shall certify and disclose accordingly.

**GENERAL
CERTIFICATION**

The authorizing official, on behalf of the applicant, certifies that it will comply with all applicable requirements of all other Federal laws, executive orders, regulations, and policies governing the program.

II. CERTIFICATIONS REQUIRED OF SOME APPLICANTS

The following certifications are required if applicable to the project for which an application is being submitted. Applicants should be aware that additional federal certifications, not listed below, might apply to a particular project.

SUBAGREEMENTS

Applicants who plan to use awards to fund subgrants, contracts and subcontracts should be aware that they must receive the following certifications from applicants to grant programs and those who bid on contracts:

- (1) certification of compliance with the nondiscrimination statutes from institutional applicants and contractors, and
- (2) certification regarding debarment and suspension from applicants to grant programs (regardless of the amount requested) and from potential contractors and subcontractors who will receive \$100,000 or more in grant funds. Applicants are also required to include without modification the following wording in solicitations for all grant proposals and for contracts that are expected to equal or exceed \$100,000:
 - (a) The prospective lower tier participant certifies, by submission of this proposal, that neither it nor its principals are presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from participation in this transaction by any federal department or agency.
 - (b) Where the prospective lower tier participant is unable to certify to any of the statements in this certification, such prospective participant shall attach an explanation to this proposal.

**NATIVE
AMERICAN
HUMAN
REMAINS
AND
ASSOCIATED
FUNERARY
OBJECTS**

The authorizing official, on behalf of the applicant, certifies that the applicant will comply with the provisions of the Native American Graves Protection and Repatriation Act of 1990 (25 U.S.C. § 3001 et seq.), which applies to any organization that controls or possesses Native American human remains and associated funerary objects, and which receives federal funding, even for a purpose unrelated to the Act.

**HISTORIC
PROPERTIES**

The authorizing official, on behalf of the applicant, certifies that the applicant will assist the awarding agency in assuring compliance with Section 106 of the National Historic Preservation Act of 1966, as amended (16 U.S.C. § 470f), Executive Order (E.O.) 11593, and the Archaeological and Historic Preservation Act of 1974 (16 U.S.C. § 469 et seq.).

**ENVIRONMENTAL
PROTECTIONS**

The authorizing official, on behalf of the applicant, certifies that the project will comply with environmental standards, including the following:

- (a) institution of environmental quality control measures under the National Environmental Policy Act of 1969, as amended (42 U.S.C. § 4321 et seq.) and Executive Order (E.O.) 11514;
- (b) notification of violating facilities pursuant to Executive Order (E.O.) 11738;
- (c) protection of wetlands pursuant to Executive Order (E.O.) 11990, as amended by Executive Order (E.O.) 12608;
- (d) evaluation of flood hazards in floodplains in accordance with Executive Order (E.O.) 11988, as amended.
- (e) assurance of project consistency with the approved State management program developed under the Coastal Zone Management Act of 1972, as amended (16 U.S.C. § 1451 et seq.); and
- (f) conformity of Federal actions to State (Clean Air) Implementation Plans under section 176(c) of the Clean Air Act of 1955, as amended (42 U.S.C. § 7401 et seq.);
- (g) protection of underground sources of drinking water under the Safe Drinking Water Act of 1974, as amended (42 U.S.C. § 300f et seq.); and
- (h) protection of endangered species under the Endangered Species Act of 1973, as amended (16 U.S.C. §§ 1531-1543).

The authorizing official, on behalf of the applicant, certifies that the project will comply with the Wild and Scenic Rivers Act of 1968, as amended (16 U.S.C. §1271 et seq.) related to protecting components or potential components of the national wild and scenic rivers system.

The authorizing official, on behalf of the applicant, certifies that the applicant will comply with the flood insurance requirements of the Flood Disaster Protection Act of 1973, as amended (42 U.S.C. § 4001 et seq.), which requires recipients in a special flood hazard area to participate in the program and to purchase flood insurance if the total cost of insurable construction and acquisition is \$10,000 or more.

The authorizing official, on behalf of the applicant, certifies that the project will comply with 45 C.F.R. Part 46 regarding the protection of human subjects involved in research, development and related activities supported by this award of assistance.

**RESEARCH
ON HUMAN
AND
ANIMAL
SUBJECTS**

The authorizing official, on behalf of the applicant, certifies that the project will comply with the Laboratory Animal Welfare Act of 1966, as amended (7 U.S.C. § 2131 et seq.) pertaining to the care, handling, and treatment of warm blooded animals held for research, teaching, or other activities supported by this award of assistance.

For further information on these certifications, contact IMLS at 1100 Pennsylvania Avenue, NW, Room 510, Washington, DC 20506 or call (202) 606-8536.

Important Dates and Contact Information for National Leadership Grants

	Application Deadline	Award Announcement	Program Officer	Phone	Email
For Libraries Education and Training	February 1	Mid-July	Jeanne McConnell	(202) 606-5389	jmcconnell@imls.gov
Research and Demonstration	February 1	Mid-September	Martha Crawley	(202) 606-5513	mcrawley@imls.gov
Preservation or Digitization	February 1	Mid-September	Martha Crawley	(202) 606-5513	mcrawley@imls.gov
For Museums Museums Online	March 1	Mid-September	Dan Lukash	(202) 606-4644	dlukash@imls.gov
Museums in the Community	March 1	Mid-July	Dan Lukash	(202) 606-4644	dlukash@imls.gov
Professional Practices	March 1	Mid-September	Dan Lukash	(202) 606-4644	dlukash@imls.gov
For Libraries and Museums Library and Museum Collaboration	April 1	Mid-September	Jeanne McConnell	(202) 606-5389	jmcconnell@imls.gov

Equal Opportunity Statement

IMLS programs do not discriminate on the basis of race, color, national origin, sex, disability, or age. For further information, write to the Civil Rights Officer, Institute of Museum and Library Services, 1100 Pennsylvania Avenue, N.W., Washington, D.C. 20506.



INSTITUTE
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and LIBRARY
SERVICES

Washington, DC 20506

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